

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Yuichi KAWAHATA

Application No.: TBA

Group Art Unit: TBA

Filed: March 2, 2004

Examiner: TBA

For: OPTICAL COMPONENT PROVIDED WITH DEMULTIPLEXING FUNCTION AND
WAVELENGTH DISPERSION COMPENSATOR

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations.
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☐ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☒ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.

2. ☒ In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is

(Check appropriate Items 2a, 2b, 2c and/or 2d)

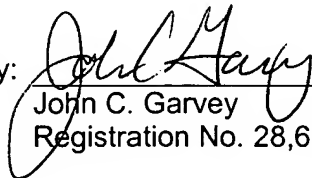
- 2a. ☐ satisfied because all non-English language publications were cited on the enclosed "English-language version of the search report or action which indicates the degree of relevance found by the foreign office". (See MPEP 609, Minimum Requirements for an Information Disclosure Statement, Part A(3): Concise Explanation of Relevance, pp. 600-100 to 600-101, Rev. 1, Feb. 2000.)
- 2b. ☐ set forth in the application.

- 2c. ☐ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 2d. ☒ enclosed as Attachment 1(e), hereto.
3. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).

Respectfully submitted,

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FORM PTO-1449 <div style="text-align: center;">U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</div> <div style="text-align: center;">LIST OF REFERENCES CITED BY APPLICANT</div> <div style="text-align: center;"><i>(Use several sheets if necessary)</i></div>	ATTORNEY DOCKET NO. 1344.1133	APPLICATION NO. TBA
FIRST NAMED INVENTOR Yuichi KAWAHATA		
FILING DATE March 2, 2004		GROUP ART UNIT TBA

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA	5,930,045	07/27/99	Shirasaki			
AB	5,999,320	12/07/99	Shirasaki			
AC						
AD						
AE						
AF						

FOREIGN PATENT DOCUMENTS

DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
					YES	NO
AG	2000-511655	Japan (corresponds to USP 5,930,045)				xx
AH	09-043057	Japan (corresponds to USP 5,999,320)				xx
AI						
AJ						
AK						
AL						

OTHER REFERENCES (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

AM	
AN	
AO	

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

ATTACHMENT 1(e)

<p align="center">EXPLANATIONS OF RELEVANCY OF REFERENCES</p>	<p>ATTORNEY DOCKET NO. 1344.1133</p>	<p>APPLICATION NO. TBA</p>
	<p>FIRST NAMED INVENTOR Yuichi KAWAHATA</p>	
	<p>FILING DATE March 2, 2004</p>	<p>GROUP ART UNIT TBA</p>

Inventor, Patent Number, Country Author, Title, Name of Document	Issue date	Concise Explanation of the Relevance (indication of page, column, line, figure of the relevant portion)
1. Japanese Unexamined Patent Publication No. 09-043057 (corresponding to USP 5,999,320)	February 14, 1997	Background
2. Japanese National Publication No. 2000-511655 (corresponding to USP 5,930,045)	September 5, 2000	Background